

S/N 09/521,545



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Dale G. Swan et al.	Examiner:	Not Assigned
Serial No.:	09/521,545	Group Art Unit:	Not Assigned
Filed:	03/09/00	Docket No.:	13288.6USI2
Title:	EPOXIDE POLYMER SURFACES		

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**STATEMENT UNDER 37 C.F.R. § 3.73(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

SurModics, Inc. a corporation organized and existing under the laws of the State of Minnesota, having its primary place of business at 9924 West 74th Street, Eden Prairie, Minnesota 55344-3523, in the county of Hennepin and the State of Minnesota, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the patent application identified above. The assignment was submitted for recordation in the Patent and Trademark Office on March 9, 2000, of which a copy is attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 4-28-2000

By Walter H. Diers, Jr.  
Walter H. Diers, Jr.  
Vice President, Corporate Development



RECORDATION FORM COVER SHEET

No.: 9896.145

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

**PATENTS ONLY**

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

**Dale G. Swan, and Melvin J. Swanson**

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: **9 March 2000**

2. Name and address of receiving party(ies):

Name: **SurModics, Inc.**

Internal Address:

Street Address: **9924 West 74th Street**

City: **Eden Prairie** State: **MN** ZIP: **55344**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: **9 March 2000**

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Fredrikson & Byron, P.A.**

Internal Address: **1100 International Centre**

Street Address: **900 Second Avenue South**

City: **Minneapolis** State: **MN** ZIP: **55402**

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41):.....\$ **40.00**

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

**061910**

DO NOT USE THIS SPACE

9. Statement and signature

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

**Philip M. Goldman**

Name of Person Signing

Signature

**9 March 2000**

Date

Total number of pages including cover sheet, attachments, and document:

**3**

## ASSIGNMENT

We, Dale G. Swan, and Melvin J. Swanson, citizens of the United States residing at 1856 Parker Road, St. Louis Park, Minnesota 55426, and 5290 Mt. Carmel Road, Carver, Minnesota 55315, respectively, have made an invention relating to EPOXIDE POLYMER SURFACES and have today executed an application for United States Letters Patent based thereon and identified by attorney's File No. 9896.145.0, and naming the following inventors: Dale G. Swan, and Melvin J. Swanson, S.N. \_\_\_\_\_, filed \_\_\_\_\_. We hereby authorize and request our attorney, Philip M. Goldman of 1100 International Centre, 900 Second Avenue South, Minneapolis, Minnesota 55402, to insert the filing date and application number of said application when known.

In exchange for good and valuable consideration, the receipt of which we now acknowledge, we hereby assign to SurModics, Inc., a Minnesota corporation having its principal place of business at 9924 West 74th Street, Eden Prairie, Minnesota 55344-3523, its successors and assigns:

- (1) The entire right, title and interest to the above-identified invention and application;
- (2) The entire right, title and interest to any United States or foreign Letters Patents which may issue with respect to the above-identified invention;
- (3) The entire right, title and interest to any renewals, reissues, extensions, substitutions, continuations, continuations-in-part, or divisions that may be filed with respect to the above-identified invention and application; and
- (4) The right to apply for Letters Patents in foreign countries in its own name and to claim any priority rights to which such foreign applications are entitled under international conventions, treaties or otherwise.

We further agree for ourselves and for our heirs, executors and administrators, to execute and deliver without further consideration any further applications, assignments or other documents and to perform such other lawful acts as SurModics, Inc., its successors and assigns may deem necessary to fully secure its rights, title or interest as outlined herein.

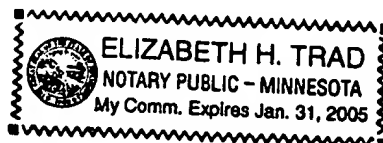
We hereby authorize and request the Commissioner of Patents and Trademarks to issue to SurModics, Inc. any Letters Patents which may be granted in accordance with this Assignment.

Dated this 9 day of march, 2000.

Dale G. Swan  
Dale G. Swan

Subscribed and sworn to before me  
this 9 day of March, 2000.

Elizabeth H. Trad  
Notary Public



Dated this 9 day of March, 2000.

Melvin J. Swanson  
Melvin J. Swanson

Subscribed and sworn to before me  
this 9 day of March, 2000.

Elizabeth H. Trad  
Notary Public

